



*Senior Agency Official for Records Management
2017 Annual Report*

The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive* transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to PRMD@nara.gov. Include the words "SAORM annual report - [Agency Name]" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

Name of SAORM: Diana J. Veilleux
Position title: Chief, Legal, External Affairs and Performance Branch,
Program Counsel Division
Address: 1201 New York Avenue, NW, Washington, DC 20005
Office telephone number: (202) 482-9203

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

U.S. Office of Government Ethics

2. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

Yes.

Please explain your response:

OGE has fully transitioned to electronic recordkeeping for its permanent records. Permanent records created or received in paper format are digitized into an electronic record and maintained in an authorized OGE electronic recordkeeping system or application.

3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes.

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

OGE permanent records received in hard copy are digitized into a portable document format (PDF) with optical character recognition (OCR). OGE conducts a verification process with the digitized record and hard copy record to ensure accuracy. OGE's electronic permanent records are efficiently captured and managed in an authorized OGE electronic recordkeeping system or application. In light of OGE's transition to electronic recordkeeping, the OGE Records Officer is conducting a complete overhaul of all OGE records disposition schedules and plans to submit media neutral schedules for NARA's approval in FY 2018. The OGE Records Officer has also prepared training material on managing electronic temporary and permanent records in accordance with NARA's guidance such as NARA Bulletins 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records and 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

Yes.

Please explain your response:

The OGE Records Officer has provided training for OGE Senior Officials and other OGE decision-makers on their recordkeeping responsibilities including creating records necessary to adequately document their actions and decisions when conducting agency business; ensuring records are properly captured in an authorized OGE electronic recordkeeping system or application; and protecting records from unauthorized use and disclosure.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

Yes.

Please explain your response:

As the OGE Senior Agency Official for Records Management, I provide overall strategic direction for the OGE Records Management program by working closely with the OGE Records Officer to implement the agency-wide records management program, keeping abreast of NARA issuances, attending records management meetings, and ensuring:

- Records management is included in OGE's strategic plan.
- Funding is available to efficiently implement the OGE Records Management program.
- Records management policies and procedures are in place to efficiently and effectively manage OGE records.
- Records are captured and managed in an electronic format in an authorized OGE recordkeeping system.
- Records, regardless of media type, are fully accessible and retrievable when needed to conduct agency business.
- Records disposition schedules are submitted to NARA for approval and upon NARA's approval the disposition schedules are implemented agency-wide.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes.

Please explain your response:

As the OGE Senior Agency Official, I work closely with the OGE Records Officer to ensure all (incoming and outgoing) OGE Senior Officials receive briefings on their records management roles and responsibilities including documenting their public service and the use of personal email. The OGE Records Officer conducts entrance briefings with incoming OGE Senior Officials. Additionally, OGE Senior Officials are provided with procedural guidance on capturing and managing the records they create and receive when conducting agency business and email management including OGE's policy on the use of personal email accounts. The OGE Records Officer conducts exit briefings and works with departing OGE Senior Officials to ensure their records are properly captured and maintained in an authorized OGE electronic recordkeeping system prior to their departure.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

Yes.

Please explain your response:

OGE has integrated the following records management program requirements in its information resources management strategy in accordance with OMB Circular A-130, Managing Information as a Strategic Resource:

- OGE has designated a Senior Agency Official for Records Management (SAORM) who has overall agency-wide responsibility for records management.
- OGE's SAORM and Records Officer consults with the Chief Information Officer to ensure the IT infrastructure is secured to collect, manage, and protect records from unauthorized disclosure or loss.
- OGE's SAORM and Records Officer collaborates with the Information Technology Operations Branch to develop and implement electronic recordkeeping systems and applications that supports records management and litigation requirements and provides the capability to identify, retrieve, and retain records for as long they are needed to conduct agency business.
- OGE continues to digitize and manage permanent records in an electronic format in authorized OGE electronic recordkeeping systems and applications.
- OGE manages both permanent and temporary email records in an accessible electronic format in authorized OGE electronic recordkeeping systems and applications.
- OGE continues to transfer permanent records in paper format to NARA and plans to transfer eligible electronic records upon NARA's approval of media neutral schedules.
- The OGE Records Officer conducts mandatory records management trainings to inform OGE Senior Officials, employees, and contractors of their records management responsibilities.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan, Goal 2.4)

OGE has successfully transitioned to fully electronic recordkeeping.